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ABSTRACT

This report analyzes data from a survey of the 50 states and the District of Columbia designed to study changes in organizational structure within state education agencies (SEAs) and the impact of those changes on management and leadership in special education. completed forms were received from 48 SEAs or a 94 percent return rate. The report discusses education reform and needed changes within SEAs, barriers to change, and the new roles being forged by SEAs. The results of the survey indicate that the majority of SEAs had experienced reorganizations since 1992; over half of the SEAs indicated that the unit responsible for special education has changed through reorganization; changes in special education units included increased team efforts, broader support for all children, and increased collaboration; SEA reorganization has tended to occur in those states in which the Governor has been in office for more than 23 months and in which superintendents/commissioners of education have been in their jobs for 1-2 years; and 23 respondents reported decreases in special education staffing levels and an increased use of outside contracting to carry out specific special education leadership responsibilities. Appendices include the survey instrument, tabulated results, and examples of SEA organizational charts. (CR)

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ED 404 788

ORGANIZATIONAL CHANGE WITHIN STATE EDUCATION AGENCIES: IMPACT ON MANAGEMENT AND LEADERSHIP IN SPECIAL EDUCATION

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ABSTRACT

This document contains an analysis of data from a study of changes in organizational structure within state education agencies (SEAs) and the impact of those changes on management and leadership in special education. To date, information regarding changes within SEA special education units has largely been anecdotal. As a result of increasing numbers of inquiries concerning the impact on state education leadership of the extensive changes that are occurring within SEAs, the National Association of State Directors of Special Education (NASDSE) conducted a survey of the 50 states and the District of Columbia regarding the extent of form and function changes within SEAs across the country. Completed survey forms were received from 48 SEAs or a 94 percent return rate from the total sample of 50 states and the District of Columbia. All completed survey forms returned to NASDSE were reviewed and analyzed by Project FORUM staff. The report contains tabulations of the data and an examination their meaning and implications.

ORGANIZATIONAL CHANGE WITHIN STATE EDUCATION AGENCIES: IMPACT ON MANAGEMENT AND LEADERSHIP IN SPECIAL EDUCATION

INTRODUCTION AND BACKGROUND

Education Reform and Change within State Education Agencies

The adoption of the National Education Goals in 1990 stimulated Governors and other policy makers across the country to launch ambitious education agendas focusing on the attainment of better student outcomes. The passage of Goals 2000: Educate America Act and the re-authorization of the Elementary and Secondary Education Act have also stimulated strategies for educational change. As these various systemic education reforms have been initiated, it has become necessary to re-engineer the way state, regional, and local agencies operate in their attempts to meet these new goals.

Susan Follett Lusi (1994) identified three dimensions of needed change to enhance the organizational capacity of State Education Agencies (SEAs): (1) staff with the necessary skills to perform innovative work; (2) structures for on-going learning/training from people both inside and outside the SEA; and (3) an infrastructure that has the capability for easy access to information and that can be a learning organization. Internal working relationships within the SEA will need to be broader and more collaborative rather than the traditional "bureaucratic and segmented" organization. Lusi (1994) discussed the need for SEAs to develop structures that differ substantially from the typical bureaucracy, are more team-oriented, and are less hierarchical.

An increased focus on student outcomes has signaled a need for SEAs to shift from a traditional role of overseeing compliance, to expanded technical assistance. SEAs find they must also change from a model of delivering services to one of enabling and collaborating with others, as well as leveraging support across agencies and program lines. To accomplish this, SEAs are looking for ways to form new collaborations and networks with other agencies and with local education agencies (LEAs).

New instructional practices and curriculum goals, needed for better student outcomes, must be accompanied by corresponding reforms that impact instructional and other materials, assessment and accountability, as well as initial training and on-going staff development. Professional development and technical assistance practices need to change dramatically beyond the one-shot workshops typically delivered by state and local agencies, outside "experts," and the array of often disconnected higher education course offerings. Creating a system to build local capacity means moving away from traditional professional development that focuses on individuals, and technical assistance that focuses on programs. Building local capacity is a very different role for SEAs than they have played in the past. (National Governors" Association, 1994).

To support and assist in these transformations, SEAs face the dual challenge of transforming their own organizations to take on new roles, while simultaneously leading and supporting schools and local education agencies in transforming their programs and services. This observation has led MacDonald (1993) to conclude, "Planning and aligning a system that will coordinate and align the components of education toward the same student outcomes in a way that provides the needed coherence and direction will sorely tax SEA capacity as never before."

Barriers to Change Within SEAs

One of the barriers to transformation within SEAs is the typical hierarchical structure of the traditional SEA, headed by a chief with one or more deputies, division and/or bureau directors of instruction, certification, special and support programs, and financial services. Regulatory functions and roles primarily guide organizational behavior and reporting. Internal relationships are formed with communications moving up and down through the hierarchy rather than across the organization. Units are often isolated from one another with roles, functions and responsibilities tightly designed and closely guarded (MacDonald, 1994).

Another barrier is a result of the percentage of total positions in SEAs supported by federal funds. The percentage of professional positions supported by federal dollars in SEAs is increasing with recent reductions in state-funded positions. The higher the proportion of federally-funded positions, the more difficult it becomes to transform the role of staff from compliance monitoring to one of support and assistance because of the perceived and actual regulatory responsibilities associated with the various federal programs. (National Governors' Association, 1994).

Actions and expectations by state legislatures also often impede the needed shift from regulatory functions to technical assistance. State legislation often requires SEAs to provide evidence of their oversight responsibilities from audit trails to annual progress reports. State education agencies are also faced with other barriers such as the inability to attract top professionals because of lower salaries, requirements in state personnel systems, insufficient time and money to support staff retraining and development, and reduced appropriations for staff from state legislatures. In addition, leading and managing organizational change require very different kinds of training, skills, and knowledge than is held by most SEA, LEA, and school staff.

These and other barriers suggest that SEAs will not be able to transform themselves quickly. SEAs are facing a challenge to assume all of the new developmental and assistance roles demanded by systemic reform.

New Roles Being Forged by State Education Agencies

Despite these and other barriers and constraints, SEAs are implementing a number of changes that are demanding changing roles and responsibilities. For example, SEAs across the country are rethinking and recasting how to organize internally in order to carry out business very differently,

provide customer services, and support and facilitate systems change. Rather than the traditional role as a provider or broker of services to individual teachers and program staff, SEAs are seeking to become enabling organizations, supporting activities and choices at the school level, facilitating communication among educators, and providing opportunities for educators to participate in the development of new curricula and assessments, all to support systemic change.

State education agencies are also implementing joint and collaborative initiatives with other state and local agencies, and with other partners, in order to enhance their expertise and resources to support local/community capacity building. For example, new bridges and partnerships are being formed between SEAs and institutions of higher education, between SEAs and other health and human service agencies, and between SEAs and LEAs.

Creative strategies are being identified to deal with constraints created by mandates and rules, particularly those that inhibit the flexible use of time, prohibit the merging of staff development funds across programs, and specify and limit what constitutes allowable activities. State education agencies are facilitating opportunities for local educators to observe innovative practices and to access knowledge and help. State education agencies are also working collaboratively with schools to provide a structure for self-assessment.

State education agencies are also helping to create conditions that facilitate professional communication and provide opportunities for teachers to construct curriculum, materials, and instructional activities for themselves and others. For example, telecommunications or technology provides vehicles for sharing new knowledge (e.g., computer-based networks for teachers to find information, ask questions, read articles, and exchange ideas with peers).

State education agencies are exploring alternative ways to deliver technical assistance. Traditionally, SEAs have focused on federal program requirements in categorical disciplines and programs, often with little inter-program communication and coordination. State education agencies are identifying alternatives that focus on facilitating and supporting LEAs and schools in their efforts to design strategic planning strategies. State education agencies are realizing that to change the learning outcomes for all students, SEA staff must spend time in the schools or LEAs providing expertise and assistance that are timely, eclectic, easily accessible, flexible, and wide ranging.

Decentralization of decision making requires that SEAs and LEAs create and maintain decentralized, computerized, and user-friendly management information systems. State education agencies are exploring ways to provide consultation between the state and local level to help develop, fine-tune, adapt, and, when necessary, overhaul data systems.

States are attempting to replace rigid state accountability systems with systems that allow flexibility in ways to achieve local/community goals and expectations, but with accountability in reaching these outcomes. Waivers to specific state rules are being considered. Professional learning networks are being created among SEAs, LEAs, and institutions of higher education. State

education agencies are also supporting and communicating new images of teaching, learning, and managing by offering guidance on school self-assessment, modeling, encouraging risk taking, and aligning evaluation and accountability with these images. (National Governors Association, 1994).

Findings Regarding New SEA Roles by the Council of Chief State School Officers

The Council of Chief State School Officers (CCSSO) conducted a survey of the states in 1993 to determine the status of the above and other transformations occurring within SEAs. This survey indicated that SEAs are rapidly changing their organizational structures and external relationships with LEAs, universities, and other health and human service agencies. The findings indicated that 42 SEAs had started or recently completed reorganization (line and staff relationships by role, function, and responsibility). Of the remaining states, three SEA respondents reported that they had not reorganized, three did not respond to the survey section on SEA reorganization, and two states did not respond to the survey. (MacDonald, 1994).

Respondents from 35 states reported that the impetus for SEA reorganization stems from recommendations from chief state school officers or state boards of education in support of state and local reform initiatives. Of these 35 states, 15 SEA respondents reported that budget and state personnel reductions played a role in providing the impetus for change. Respondents from three SEAs reported that their reorganization initiatives were prompted by an order from the Governor, and two reported the impetus for change was due to legislative action. (MacDonald, 1994). Highlights of the CCSSO survey are as follows:

- *Decentralization* of state resources has been a key strategy used by chief state school officers to support SEA and LEA reform initiatives. Eighteen states reported that their reorganization of state staff resources to support state and local systemic change allowed for direct services to LEAs through the formation of operational components. Examples are cross-cutting, field service teams, assignments of state staff to local school improvement teams, use of LEA staff along with SEA staff in the development of standards and assessments, and the use of state-supported and state-staffed regional instructional services and support centers.

- *Regional support centers* have been established in several states. For example, Kentucky has eight such centers. Florida's SEA School Improvement Service Unit was initiated to coordinate and facilitate reform efforts within the state's twelve regions. North Carolina and Wisconsin are supporting local reform initiatives through regional service units. North Carolina's six technical assistance centers deliver staff development for teachers and administrators specific to improvement of student performance. The New Mexico, Ohio, and Oregon SEAs have also utilized decentralization and collaboration approaches (MacDonald, 1994).

- *Cross-cutting teams* also focus on internal administrative, management, and programmatic planning within SEAs. All staff within the Vermont Department of Education were assigned

to home teams midway through the summer of 1992. These home teams were charged with an increased emphasis on assistance, training, product development, and building external linkages and partnerships. The home teams were also charged with building external linkages and partnerships. The Wisconsin SEA established state action teams that formed a support rather than a monitoring relationship with LEAs.

- Five states reported that they are using a *quality management* approach as a vehicle to help SEA staff carry out behavior and attitude changes in their relationships with both internal and external "customers" and to better align SEA roles and functions. South Carolina, for example, has established six regional total quality education coordinating councils to develop strategic plans for meeting the National Educational Goals. Vermont's Restructuring Team began to utilize Total Quality Management in their departmental reorganization that began in 1989 (MacDonald, 1994).

- Several SEAs have also *flattened their organizational hierarchy*. For example, the Vermont Department of Education restructured around six Home Teams, each of which has an internal and an external manager. Internal managers are "responsible for implementing policies through organizing and managing the financial and human resources of the home team" (Vermont Department of Education, 1992, July 28, p. 1). External managers are "responsible for policy formulation, budget development, and working with [external] partners" (Vermont Department of Education, 1992, July 28, page 1). Together, team managers "have the ultimate responsibility for guiding, setting standards and judging performance, and...working through others to get the work done" (Vermont Department of Education, 1992, July 28, p. 1). Collaboration is modeled in SEA work using this organizational structure.

Involvement of Special Education Units in SEA Reinvention Efforts

Special education units within SEAs, along with other units/programs, play an integral role in SEA efforts to change the form and function of their organizational structures. Special education staff are joining SEA cross-cutting teams and participating in specific agency functional and organizational changes. This is challenging for special education units because many have been essentially separate in the past and have not typically worked across the entire SEA. Based on federal and state laws and rules, special education has been very process oriented, with a heavy regulatory role. As with other federal programs, there has been a "layering" effect in special education; that is, there has been the tendency to "layer on" or add to the federal procedural regulations and provisions at the state level (and again at the local level). Streamlining these federal, state, and local requirements and administrative/programmatic procedures continues to be a challenge at all levels.

Need for Information

The National Association of State Directors of Special Education (NASDSE) has received numerous inquiries from state directors of special education and other SEA staff as well as from other organizations and individuals regarding the extent to which special education structures and functions/responsibilities have changed as a result of broader changes within SEAs. Concerns have been expressed that extensive changes are occurring within SEAs which will impact state education leadership. Information regarding actual changes within SEA special education units, however, has largely been anecdotal. The volume of concerns prompted NASDSE to initiate a study of the 50 states and the District of Columbia to address the need for information regarding the extent of form and function changes within SEAs across the country and the impact of such changes upon special education services.

PURPOSE AND METHODOLOGY

Purposes

The purposes of the NASDSE study were (1) to systematically gather information regarding the extent to which special education units have changed in form and function as a result of broader changes within SEAs, and (2) to examine the impact of recent changes within SEAs upon management and leadership in special education. This document summarizes the changes within the SEAs impacting special education, as well as any perceived or actual impact of these changes upon state management and leadership in special education.

Procedure

A mailed questionnaire was the instrument used to collect data for the study. A copy of the questionnaire can be found in Appendix A. The survey was sent by NASDSE to state directors of special education within the 50 states and the District of Columbia during February, 1996, with a three-week turnaround response date. Telephone and fax reminders were sent during March, April, May, and June to SEAs not responding in order to obtain a maximum return. Completed survey forms were received from 48 SEAs or a 94 percent return rate from the total sample of 50 states and the District of Columbia. All completed survey forms returned to NASDSE were reviewed and analyzed by Project FORUM staff.

FileMaker Pro was used to input survey form responses. The data were then imported into Microsoft Access for cleaning, database finalization, and analysis using Access query capabilities. Microsoft Access Queries were used to create tables and charts for this report. The remaining sections of this document discuss the findings of this study.

RESULTS

Reorganization: Frequency, Year, and Purpose(s)

Of the 48 respondents, 38 (79%), indicated that their SEA has experienced reorganization since 1992. Of this total, 25 (66%) SEAs have reorganized once; ten (26%) have reorganized twice, and three (8%) have reorganized three times. And, as indicated in Table 2, 1992, 1994, and 1995 were the most frequent years of SEA reorganization

Table 1. Number and Percent of SEAs Reorganizing Between 1992-1996 (N=38)

Frequency of Reorganization Since 1992	Number	Percent
Once	25	66
Twice	10	26
Three Times	3	8

Table 2. Number and Percent of SEAs Reorganizing by Year (N=38)

Year(s)	Number	Percent
1992	7	18
1993	1	3
1994	5	13
1995	6	16
1996	4	11
1992 and 1995	3	8
1992 and 1996	1	3
1993 and 1994	2	5
1993 and 1996	2	5
Three or more Years	3	8
One Time - Year Not Specified	2	5
Two Times - Years Not Specified	2	5

When asked to describe the goal, purposes, or motivation(s) for SEA reorganization that has occurred since 1992, eleven SEA respondents (28%) reported that reorganization was prompted by a new superintendent/commissioner. These SEAs included Arkansas, Connecticut, Massachusetts, Nebraska, New Jersey, Ohio, Tennessee, Texas, Virginia, Wisconsin, and Wyoming. Other motivations for SEA reorganization are summarized in Table 3 and included:

- reductions in force/downsizing, consolidation of efforts, loss of funds, streamlining, internal SEA planning, re-alignment of staff, and administrative decision;
- change in agency philosophy; meeting the needs of the customer, better coordination with school districts, implementation of learning systems support, improved services to the field, improved services to the field, and improved functions of the SEA; and
- mandate by the legislature.

Table 3. Goals, Purposes, and/or Motivation for SEA Reorganization (N=50)

Reason	Number	Percent
New superintendent/commissioner/chief	11	28
Reductions in force/downsizing; consolidation of efforts; loss of funds	8	20
Change in agency philosophy; meeting the needs of the customer	6	15
Mandate by the legislature	3	8
Restructuring/education reform	2	5
School improvement initiative - first change; new commissioner	1	2
Re -alignment of special education with rehabilitation	1	2
Moved to matrix management within the SEA	1	2
Not stated	7	18

SEA respondents were asked to describe reorganization currently taking place or planned. The goals, purposes, and/or motivations for SEA reorganization, as perceived by the SEA respondents, varied. Findings included reasons related to fewer or more efficient resources (31%); changes in agency philosophy, increased or improved services to the field (25%); and greater collaboration across SEA units and programs (25%).

Table 4. Goals, Purposes, and/or Motivation for SEA Reorganization Currently Being Implemented or Planned (N=32)

Reason	Number	Percent
Reduction in staff; cost efficiency; better alignment	10	31
Change in agency philosophy; improved services to the field	8	25
Increased collaboration across the SEA	8	25
Still implementing previous reorganization	2	6
Unknown or uncertain about reorganization	4	13

Reporting Structure

Respondents were asked about the current reporting structure within the SEAs for special education; specifically, to whom the state director/administrator of special education reports. Over half of the state directors/administrators of special education who participated in this study (30 or 63%) currently report to an assistant/associate superintendent. An additional nine (19%) report to the deputy superintendent, and six (12%) report directly to the state superintendent or commissioner. These data are presented in Table 5.

Table 5. Immediate Supervisor of the State Director/Administrator of Special Education (N=48)

Response	Number	Percent
Assistant or associate superintendent/commissioner	30	63
Deputy superintendent	9	19
State superintendent/commissioner/chief/senior	6	12
Division administrator/assistant director or administrator	1	2
Learning systems team leader	1	2
Unstated	1	2

Kinds of Reporting Changes

Eighteen SEA respondents (38%) indicated that the line of authority for the state director/administrator of special education within the SEA has changed since 1992. As can be seen in Table 6, five (28%) state directors/administrators of special education previously reported directly to the superintendent/commissioner. In an additional five (28%) SEAs, an additional layer was added between the state director/administrator of special education (a deputy or another administrator). These additional five did not previously report to the superintendent/commissioner.

Table 6. Changes in the Line of Authority for the State Director/Administrator of Special Education Within the SEA Since 1992. (N=18)

Response	Number	Percent
State director/administrator of special education previously reported to the superintendent/commissioner	5	28
An additional layer was added between the state director director/administrator of special education and the superintendent/commissioner	5	28
A new team structure was implemented	1	6
Administrators were eliminated in 1993; special education was split apart and then put back together within the SEA	1 1	6 6
Assistant commissioners were eliminated	1	6
SEA moved to a flatter structure	1	6
State director/administrator reported to an assistant	1	6
SEA divisions were divided into two units	1	6
Unstated	1	6

Extent and Kinds of Name Changes in the Unit Responsible for Special Education Services

State directors/administrators of special education were also asked to indicate the name of the unit with responsibility for special education as of February, 1996, as well as any previous names

of this unit changed by SEA reorganization. Over half of the SEA respondents (28 or 58 percent) indicated that there has not been a change in the name of the unit with responsibility for special education. However, 19 SEA respondents (40 percent) did report a name change since 1992, corresponding to reorganization changes. Table B1 in Appendix B provides the current and previous names for the 19 states that have reported a name change in the unit within the SEA that has responsibility for special education.

Overall Changes in the Special Education Units Within SEAs

State directors/administrators of special education were asked to describe their current special education unit within the SEA. Following is a summary of the findings found in Table 7:

- Twenty SEA respondents (42%) indicated that the special education program continues to use a special education designation with little or no change (Alaska, Arizona, Arkansas, California, Connecticut, Delaware, District of Columbia, Idaho, Indiana, Louisiana, Michigan, Missouri, Montana, New Mexico, Oklahoma, Pennsylvania, South Dakota, Texas, Utah, and Virginia).

- Eighteen respondents (38%) indicated that their special education program continues to use a special education designation, but is part of cross cutting management/programmatic team in the SEA (Alabama, Colorado, Iowa, Kentucky, Maine, Maryland, Massachusetts, Nevada, New Jersey, North Carolina, North Dakota, Ohio, Rhode Island, South Carolina, Tennessee, West Virginia, Wisconsin, and Wyoming).

- Four respondents (8%) indicated that the special education program has moved to a more generic organizational unit (Florida, Illinois, Nebraska, and Vermont).

Table 7. Description of Current Special Education Program Within SEAs (N=48)

Response	Number	Percent
Continues to use special education designation with or no change	20	42
Continues to use special education designation, but part of broader SEA cross-cutting team(s)	18	38
Has moved to a more generic organizational unit	4	8
Has returned to use a special education designation	1	2
Continues to use a special education designation, but some functions have been merged with other units	1	4
Special education and student services combined	1	4
Unstated	1	2

SEA respondents provided further information regarding whether changes made in the functions of the special education unit have been a result of a change of SEA philosophy. Eighteen SEA respondents (38 percent) reported that changes in the special education unit reflected a change in SEA philosophy. The other respondents (30 or 62 percent) indicated that a change in philosophy did not impact the functions of the special education unit, or they did not provide information on this topic. The type of SEA philosophy change most frequently reported was broader support for all children, increased team efforts, and increased collaboration. The types of philosophy change are summarized in Table 8.

Table 8. Type of Philosophy Change in the SEA Special Education Program (N=18)

Response	Number	Percent
Increased team effort; enhanced collaboration;	8	44
Broader support for all children	4	22
Focus on centers for educational leadership and outcomes	1	6
Special education viewed as services not locations of programs	1	6
Moved to more generic unit, including Title I	1	6
Change in philosophy, but type of change not stated	1	6
	2	11

Longevity of Governors, State Superintendents/Commissioners of Education, Deputies, and Immediate Supervisors and Relationship to Reorganization Efforts

SEA respondents were asked how long their Governor, state superintendent commissioner, deputy state superintendent, and immediate supervisor have been in their current positions. This information was asked for general demographic information and also to determine if there is a correlation between the extent of reorganization and the amount of time key leaders have been in their current job. Approximately 40 percent of the Governors within the 48 responding SEAs have been in their positions for 4+ years. Another 50 percent have been in their current position 2-3 years. The majority of state superintendents/commissioners (63%) have been in their current position 2 years, 11 months or less. The majority of deputy superintendents/commissioners and immediate supervisors (59% and 55%) have been in their position 3 years, 11 months or less. Table B2 in Appendix B summarizes this information.

The relationship of the tenure of state superintendents/commissioners of education reorganization within the SEAs was examined. Reorganization within the SEA was least likely to occur for SEAs in which the superintendents/commissioners had been in their positions for less than one year (0-11 months, 56%). SEA reorganization was most likely to occur when the state superintendent/commissioner of education had been in his or her job two to four years (100%, 24-47 months). Although the numbers are small, these findings are probably a reflection of the amount of

time that is needed to promote and carry out reorganization and re-inventing efforts. This information is presented in Table 9.

Table 9. Comparison of Reorganization Efforts Within SEAs to Tenure of State Superintendents/Commissioners of Education (N=47)

Tenure in Months	No. Re-Org	No. Not Re-Org	Unstated	Totals
0-11	5	4		9
12 to 23	12	1		13
24-47	8			8
48 to 71	3	1		4
72 to 95	7	3		10
96 to 131	1			1
132+	1		1	2

A comparison was also made between the tenure of Governors within the states and reorganization that has occurred. This data presented below in Table 10 shows that SEA reorganization was more likely to occur in states where the Governor has been in office for more than 23 months (91%, 24 to 35 months; 100%, 36 to 47 months; and 84%, 48+ months), as compared to less than 24 months (50%, 1 to 11 months and 56%, 12 to 23 months).

Table 10. Comparison of Reorganization Efforts Within SEAs with Tenure of Governors (N=47)

Tenure in Mths	Reorganization		Unstated	Totals	Percent
	Yes	No			
1 to 11	2	2		4	50
12 to 23	5	3	1	9	56
24 to 35	10	1		11	91
36 to 47	4			4	100
48+	16	3		19	84

Relationship of Previous Position to Reorganization Effort

SEA respondents were asked to indicate the previous position held by the state director/administrator of special education, his/her immediate supervisor, the deputy superintendent of public instruction, and the state superintendent/commissioner of education. "Other SEA or LEA position" was the most frequently reported previous position for all job roles studied. This information can be found in Appendix B, Chart B3.

The survey data also allowed for examination of the relationship between reorganization efforts and previous position of state superintendents/commissioners of education. The data suggest that state superintendents/commissioners of education who were previously in higher education or

worked as an LEA administrator were the most likely to lead SEA reorganization or restructuring efforts. This information is presented in Table 11.

Table 11. Comparison of Reorganization Efforts Within SEAs by Previous Position of State Superintendent/Commissioners of Education (N=40)

Previous Positions	Totals	Number	Percent
Other SEA Position	9	5	56
LEA Administrator	13	12	92
Higher Education Faculty	8	8	100
Business	4	3	75
Other (Private Association	13	9	69
Private Association Executive	1	1	100
Homemaker	2	1	50
Vacant or Not Stated	1	1	100

Impact of SEA Reorganization on the Management and Leadership within Special Education

Changes in Staffing Levels Within SEA Special Education Units

Twenty-one SEA respondents (44 percent) indicated that the number of staff in the special education unit or designation has remained approximately the same (e.g., Arkansas, California, Delaware, Idaho, Indiana, Iowa, Kansas, Louisiana, Massachusetts, Michigan, Minnesota, Missouri, Nevada, New Mexico, Oklahoma, Oregon, Pennsylvania, Tennessee, Utah, Virginia, and Wisconsin).

Another 23 SEA respondents (48 percent) indicated that the number of staff in the special education unit or designation has decreased (e.g., Alabama, Alaska, Arizona, Colorado, Connecticut, District of Columbia, Florida, Hawaii, Kentucky, Maine, Maryland, Nebraska, New Hampshire, New Jersey, North Carolina, Ohio, Rhode Island, South Carolina, South Dakota, Texas, Vermont, West Virginia, and Wyoming). The Alabama SEA lost five professionals and one secretary in special education last year due to attrition and not filling vacant positions. The Arizona SEA has reduced their special education program by five support staff and two professional staff positions. The Connecticut and District of Columbia SEA respondents reported losses in special education staff; however, exact numbers were not provided. The Florida SEA has reduced 5.5 staff in special education. The Kentucky SEA special education staff has reduced from 64 to 34 staff. The New Hampshire SEA respondent reported that the number of staff has decreased not because of SEA reorganization, but because of overall governmental reorganization. The North Carolina SEA has cut four special education positions. The Wyoming SEA has lost two professional staff members and one secretary in the special education unit/program.

Three (6%) additional SEA respondents (Montana, New York, and North Dakota), indicated that the number of staff in the special education unit or designation has increased because of

reorganization. Special education data staff within the Colorado SEA were moved to a newly-established data unit within the SEA. Virginia and Minnesota are examples of two states in which the special education staffs were split apart and diffused throughout the SEA, but have recently been put back together in a more distinct special education unit even though there continues to be a focus on collaboration across units within the SEA. The Illinois respondent reported that special education functions are being carried out throughout the SEA. Within the South Dakota SEA, administrative assistants have been reassigned to a new Office of Grants Management, special education staff secretaries have moved to another clerical support pool, and one support FTE position was cut.

The District of Columbia respondent indicated that staff reductions have resulted in less time to carry out field work (e.g., to work with staff in individual schools) and to provide overall program leadership. The Vermont SEA respondent reported that some non-mandatory state special education activities have been dropped because of staff reductions. The Alaska SEA respondent reported that staff reductions have meant less state leadership in special education is provided.

SEA respondents participating in this study that have had changes in various state special education management and leadership functions. These changes are due, in part, to staffing changes in other SEA reorganization and restructuring efforts (e.g., shift to contracting out functions, shift to matrix or cross-program SEA teams, or other changes). A number of SEA respondents reported an increase in contracting outside of the SEA for several special education leadership activities (1 - monitoring; 4 - technical assistance; 7 - due process; 6 - mediation; 4 - complaints; 5; CSPD; 3 - early childhood; 3 - programs for students with serious emotional disturbance; and 4 - programs for students with low incidence disabilities). In some cases, the activities are carried out completely by an outside contractor. In other cases, SEA special education staff may work in conjunction with an outside contractor, or these functions are carried out by a cross-program SEA matrix team. The three most common leadership activities carried out by outside contractors are those related to technical assistance (8 SEAs); due process (7 SEAs); and mediation (6 SEAs). Table B4 in Appendix B provides a summary (numbers and percent) of these changes in the way various special education management and leadership functions are being conducted.

The full impact of these SEA changes in special education services is difficult to determine, in part because they are recent, and the increased emphasis on involvement in cross cutting teams should result in a broader cadre of SEA staff able to provide leadership and support in various areas including special education. For example, the early childhood special education staff within the Wisconsin SEA have been moved to a Bright Beginnings Team within the agency and are no longer part of the Exceptional Education Team. This change is intended to provide more coherent, coordinated statewide leadership in early childhood education, including special education. Theoretically, state leadership in this area should be broader and provided by more staff.

Monitoring is another state special education function that has become a responsibility of broader SEA cross cutting teams (e.g., Massachusetts, South Carolina, and Vermont). Technical assistance within a number of SEAs is changing form and function and involving cross cutting program teams

(e.g., Massachusetts, Nebraska, and South Carolina). Other SEA management and specific program examples where SEAs have begun to utilize matrix or cross-program SEA teams include: New Hampshire - due process; New Hampshire - complaint resolution; Massachusetts and New Hampshire - management functions; Massachusetts - comprehensive system of personnel development (CSPD); Colorado and Massachusetts - early childhood; Colorado, Florida, and New Hampshire - programs for children with serious emotional disturbance; Colorado, Nebraska, and New Hampshire - programs for children with low-incidence disabilities; Nebraska - special studies; and Missouri and Nebraska - critical and education reform issues involving students with disabilities.

Involvement of Special Education in School Reform and Broader SEA Initiatives

In the Maryland SEA, special education staff have been assigned to assist with the Maryland School Performance Program to ensure that issues of disabilities are fully included in general education reform areas. Likewise in Minnesota, the special education staff have been involved in SEA re-visioning and restructuring around an increased focus on the customer. Within the Nebraska SEA, the special education staff have moved away from a separate program to be more inclusive with general education. The special education unit within the Nebraska SEA is directly involved in policy development within the SEA with two representatives on the SEA Leadership Council. The special education unit is also involved in new curriculum development and accountability assessment activities. Special education staff within North Dakota are involved in school improvement leadership activities, as well as regionalization of services to support local school reform. The Rhode Island SEA has implemented a school reform philosophy improved services for "*all* students" which has resulted in state special education staff being outposted to other SEA offices to carry out both reform and state special education leadership activities.

Involvement in Increased Collaboration and Teaming Within the SEA

As described above, a number of the SEA respondents reported increased use of matrix or cross-program teams within the SEA. The use of cross cutting teams within SEAs has been a common restructuring strategy at the state level. Nevada, for example, undertook a functional approach to organization using cross-cutting teams to achieve the goal of improving services for schools and communities. The Maine Special Education Team participates in the broader SEA teaming effort. Self-directed teams coordinate programs and services within the SEA. As discussed earlier in this report, in 1992, the Vermont SEA restructured their Department into six Home Teams, each with an internal and an external manager. Florida's reorganization has also centered around increased collaboration and teaming across SEA units. Illinois has reorganized their agency around Centers for Educational Leadership and the customer. The special education SEA staff have been diffused throughout the agency in these Centers, although primarily in the Center for Education Innovation and Reform. Kentucky's team structure involves special education staff. The special education staff within the Colorado SEA are also involved in work teams across SEA units. Special education staff in the North Dakota SEA participate both on the special education function teams and cross-cutting teams within the agency (e.g., school improvement, staff development, and regionalization of

services). Appendix C includes several examples of SEA reorganization charts which utilize matrix or cross-matrix teams.

Respondents to the survey questionnaire gave a number of examples of participation of SEA special education staff in collaboration efforts with other SEA programs, other agencies, and local school districts. Within the New Jersey SEA, for example, the focus is on increased coordination and strategic planning across all SEA units. As a result of involvement in SEA teaming and coordination efforts, some of the special education responsibilities have moved to the Division of Field Services. Increased collaboration within the SEAs and with other agencies was a common theme of SEA responses.

DISCUSSION AND CONCLUSIONS

This report discussed the challenges and transformations that state education agencies are facing in order to support new instructional practices, curriculum goals, assessment and accountability options, staff development, and other efforts improving outcomes for all students. SEA reorganization efforts are also occurring in response to fiscal constraints and/or a streamlined governance philosophy aimed at more efficiency and expanded services to the field.

Engaging in innovative work that is aimed at bringing about complex reform and improvement requires staff with the skills, resources, attitudes, and mindsets to do the work. Staff in traditional SEAs are accustomed to working in categorical areas and performing pre-defined tasks that have been heavily focused on rules and process. SEA work and mission are increasingly being focused on results.

The climate within SEAs is rapidly changing. SEAs engaged in complex school reform are taking on very different functions. They are faced with leading and managing complex, knowledge-intensive, uncertain change. There is, however, little known about "sure models" that can establish a coherent SEA system to effectively promote and support the redesign of teaching and learning in schools. Rather, this is the period of experimentation and exploration of new SEA structures, functions, roles, and responsibilities.

The overall purposes of this study were to scan this change environment to (1) gather demographic information about the extent of changes occurring within SEAs, including special education; and (2) to determine if these changes are impacting state management and leadership in special education. Forty-seven SEAs and the District of Columbia participated in this NASDSE study. Of these 48 respondents, 38 or 79 percent have experienced SEA reorganization since 1992; 25 or 66 percent with one reorganization, ten or 26 percent with two reorganizations since 1992, and three or 8 percent with three SEA reorganizations since 1992. Eleven SEA respondents (28%) reported that reorganization was prompted by a new state superintendent/ commissioner/chief. In addition, 29 (60%) of the SEAs reported that their SEA was currently undergoing reorganization.

SEA reorganization has tended to occur in those states where the Governor has been in office more than 23 months and where the state superintendent/ commissioner of education has been in his/her position for more than one or two years. The most common reasons given for recent reorganization were less money/staff, better alignment of functions, better use of staff, elimination of SEA divisions/units, and efforts to save funds; change in agency philosophy, improved services to the field, shift from regulatory functions to technical assistance, increased focus on outcomes, organization into regional teams for increased local support, and local control; and increased collaboration within the SEA and with other agencies. Fiscal reductions is a concern given the retraining or staff development needed by SEA personnel to carry out new roles and responsibilities requiring new knowledge and skills.

The reporting structure for special education at the SEA level has changed in 18 (or 38 percent) of the SEAs participating in this NASDSE study. In these 18 SEAs, five respondents (28 percent) indicated that the state director/administrator of special education previously reported to the superintendent/commissioner/chief. An additional five respondents (28 percent) indicated that an additional layer has been added between the state director/administrator of special education and the superintendent/commissioner.

Over half of the SEA respondents (58 percent) indicated that the unit responsible for special education has changed through reorganization. Changes in the special education unit include increased team efforts, broader support for all children, and increased collaboration.

Demographic information was provided by SEA respondents regarding the longevity of the Governor, state superintendent/commissioner, deputy, and immediate supervisor of the state director/administrator of special education. Approximately 40 percent of the Governors in the 48 participating states have been in their position for more than 4 years. More deputy superintendents have been in their positions two years to two years, 11 months or less. Immediate supervisors have been in their position between 1-2 years. Data gathered showed that SEA reorganization has tended to occur in those states in which the Governor has been in office more than 23 months and in which superintendents/commissioners of education have been in their jobs for 1-2 years. Another interesting finding was that the most frequent previous positions held by state directors/administrators of special education, their immediate supervisors, deputy superintendents, and state superintendent/commissioners of education were another SEA position or a school district administrative position.

Three different themes emerged regarding specific impacts of reorganization upon the leadership of special education at the state level. The first theme involved changes in special education staffing levels. Approximately half of the 49 SEA participating in this study, (23 or 48 percent) of the participating SEAs reported decreases in state special education staffing levels. In part because of reduced staff, SEA respondents reported an increased use of outside contracting to carry out specific special education leadership responsibilities. Because of the increased use of matrix or cross-cutting teams, however, the impact of special education staff changes cannot be fully determined. A number

of SEA examples were provided in which cross cutting teams have been implemented to carry out specific special education and other statewide functions.

A second theme emerged of greater involvement of special education staff within broader SEA restructuring/reform activities and other SEA initiatives. Although this appeared to be a shift, only limited examples of special education staff participation within these broader initiatives were provided by survey respondents.

Thirdly, SEA reorganization has resulted in increased involvement of special education staff in collaborative efforts across programs and units within the SEA. Increased collaboration at the state level was a theme in many survey responses.

As stated earlier, this is a period of significant experimentation and exploration of new SEA structures, functions, roles, and responsibilities. Findings from this study confirmed a number of changes that are occurring within SEAs involving special education staff and impacting their administrative and programmatic statewide responsibilities. The longer range impact of these changes relative to more efficient and responsive SEA management and/or increased or decreased state special education leadership remains to be assessed.

State education agencies are faced with leading and managing complex, knowledge intensive, uncertain change. There is little known, however, about "sure models" than can establish a coherent SEA system to effectively promote and support the redesign of teaching and learning in the schools. Rather, this is a period of experimentation and exploration of new SEA structures, functions, roles, and functions. Finally, responses received in this study indicated that it is to early to fully ascertain the impact of SEA re-organization changes. For example, the impact of staff reductions in special education may or may not be balanced over time with increased team structures within SEAs. It was noted by several respondents that changes within SEAs are continuous and ongoing. Time will be needed to sort out the positive benefits and/or negative consequences upon statewide management and leadership in special education.

APPENDIX A: SURVEY INSTRUMENT

IMPACT OF SEA RE-ORGANIZATION ON SPECIAL EDUCATION

State: _____

Person Completing Questionnaire: _____

Title: _____

Telephone Number: _____

1. Has your State Education Agency experienced any re-organization since 1992?
   o Yes o No

2. If yes, how many times has re-organization occurred?

	Year	Reason or Precipitating Factor
o Once	_____	_____
o Twice	_____	_____
o Three Times	_____	_____

3. Is re-organization in your SEA currently taking place or planned?
   o Yes o No

   If so, briefly describe the goal, purposes and/or motivation for the re-organization:

   _____

   _____

4. To whom does the State Director of Special Education (or its equivalent) report in your SEA structure?

   _____

5. Has this line of authority changed dur to any SEA re-organization since 1992?
   o Yes o No

   If yes, describe the change in line of authority for each time the SEA has re-organized since 1992:

   _____

   _____

6. What is the name of the unit that currently has responsibility for special education?

   _____

7. Has the name of this unit changed since 1992?
   o Yes o No

   If yes, specify previous name(s):

   _____

8. Please check those item(s) below that describe their special education program:
   - o Continues to use a Special Education designation with little or no change
   - o Continues to use a Special Education designation, but is a part of cross cutting management/programmatic teams in the SEA
   - o Has moved to a more generic organizational unit
     Describe changes in function(s): _____
     _____
   - o Other change(s): _____
     _____

9. If you checked an item in Question #8, did this change or changes represent a change of philosophy?
   o Yes o No

   If yes, briefly describe:
   _____

10. Please check the item(s) below that describe below any changes in the number or kind of staff that are assigned to the special education unit or designation:
   - o The number of staff in the Special Education unit or designation has remained approximately the same.
   - o The number of staff in the Special Education unit or designation has decreased because of re-organization. Describe below:
     _____
     _____
   - o The number of staff in the Special Education unit or designation has increased because of re-organization. Describe below:
     _____
     _____
   - o Following are changes in the kind of staff assigned to the state special education unit in our SEA:
     _____
     _____
     _____

11. How long has your current Governor been in office?
    _____

12. How long has your current State Superintendent of Public Instruction been in his/her position?
    _____

13. How long has your Deputy State Superintendent of Public Instruction been in his/her position?
    _____

14. How long has your immediate supervisor (if different from the Superintendent or Deputy) been in his/her position?

_____

15. Please describe the type of position that you held before coming to your SEA to administer the Special Education program. (Please check the item(s) that apply)
- o Other SEA position
- o LEA administrator
- o Higher Education faculty
- o Business
- o Private Consultant
- o Other (describe) _____

16. Please describe the type of position that your Deputy Superintendent held prior to coming to your SEA. (Please check the item(s) that apply)
- o Other SEA position
- o LEA administrator
- o Higher Education faculty
- o Business
- o Private Consultant
- o Other (describe) _____

17. Please describe the type of position that your immediate supervisor (if different from the Deputy or Superintendent) held prior to coming to your SEA. (Please check the item(s) that apply)
- o Other SEA position
- o LEA administrator
- o Higher Education faculty
- o Business
- o Private Consultant
- o Other (describe)

18. Please describe the type of position that your Superintendent of Public Instruction held prior to coming to your SEA. (Please check the item(s) that apply)
- o Other SEA position
- o LEA administrator
- o Higher Education faculty
- o Business
- o Private Consultant
- o Other (describe)

19. For each administrative function listed in Column A of the following chart, please check the appropriate column to indicate any changes that have been made in the method of performing this function. Check columns B-E only if it represents a change as a result of SEA re-organization.

Administrative Functions/ Programs (Column A)	Carried out by SEA Spec Educ staff (Column B)	Contracted Outside SEA (Column C)	Carried Out by a SEA Matrix Team (Column D)	Change (Briefly Describe) (Column E)
Monitoring				
Technical Assistance				
Due Process				
Mediation				
Complaints				
Part B Program Management				
CSPD (Comprehensive System of Personnel Development)				
Early Childhood				
Programs for Children who are Seriously Emotionally Disabled				
Programs for Children with Low Incidence Disabilities				
Special Studies				
Other:_____				
Other:_____				
Other:_____				

20. Please provide any other pertinent information regarding that the impact of re-organization in your SEA has had on your state special education program.

21. Please provide a general organizational chart for each organization configuration of your Department since 1992.

Thank you for your assistance in completing this form!

APPENDIX B: SELECTED TABULAR RESULTS

Table B1. Current and Previous Names of the SEA Units Responsible for Special Education as of February, 1996

State	Current Name	Previous Name
Alabama	Special Education Services	Division of Special Education Services
Alaska	Office of Special and Supplemental Services (Special Education Programs)	No Change
Arizona	Special Education Programs	Education Services
Arkansas	Special Education Section	No Change
California	Special Education Division	No Change
Colorado	Special Education Services Unit	No Change
Connecticut	Bureau of Special Education & Student	No Change
Delaware	Exceptional Children Team	No Change
District of Columbia	Special Education Branch	No Change
Florida	Bureau of Student Services and Exceptional Exceptional Education	Bureau of Education for Exceptional
Hawaii	Special Education Section	No Change
Idaho	Special Education Section	No Change
Illinois	No special education unit	Department of Special Education
Indiana	Community Relations and Special Populations	No Change
Iowa	Bureau of Special Education, Division of	No Change
Kansas	Learning Services	Education Services
Kentucky	Division of Exceptional Children Services	No Change
Louisiana	Office of Special Education Services	No Change
Maine	Special Education Team	1993 - Division of Special Education;
Maryland	Division of Special Education	No Change
Massachusetts	Educational Improvement	No Change
Michigan	Office of Special Education Services	Office of Special Education
Minnesota	Office of Special Education	Special Education Section; Instructional
Missouri	Division of Special Education	No Change
Montana	Division of Special Education	No Change
Nebraska	Special Populations Office	Special Education Office
Nevada	Educational Equity	Not Stated
New Hampshire	Division of Educational Improvement	Division of Instructional Services
New Jersey	Office of Special Education Programs	Division of Special Education
New Mexico	Special Education Unit	No Change
New York	Office for Special Education Services	No Change
North Carolina	Exceptional Children Division	Exceptional Children Support Team
North Dakota	Special Education Unit	No Change
Ohio	Division of Special Education	No Change
Oklahoma	Special Education Services	No Change
Oregon	Office of Special Education	No Change
Pennsylvania	Bureau of Special Education	No Change
Rhode Island	Office of Special Needs	Special Education
South Carolina	Curriculum	No Change
South Dakota	Office of Special Education	No Change
Tennessee	Division of Teaching and Learning	No Change

State	Current Name	Previous Name
Texas	Special Populations	Special Population
Utah	Special Education Services Unit	No Change
Vermont	Family & Education Support Team	Special & Compensatory Education
Virginia	Office of Special Education & Student Services	No Special Education Unit-90;
West Virginia	Office of Special Education	Office of Special Education Programs
Wisconsin	Exceptional Education Team	Bureau for Exceptional Children
Wyoming	Federal Programs	Unstated

Table B2a. Length of Time that Governors Have Been in the Current Position (N=48)

Response	Number	Percent
1 to 11 Months	4	8
1 Year to 1 Year, 11 Months	9	19
2 Years to 2 Years, 11 Months	11	23
3 Years to 3 Years, 11 Months	4	8
4 Years Plus	19	40
Not Provided	1	2
Total	48	100

Table B2b. Length of Time that State Superintendents/Commissioners Have Been in Their Current Position (N=48)

Response	Number	Percent
1 to 11 Months	9	19
1 Year to 1 Year, 11 Months	13	27
2 Years to 3 Years, 11 Months	8	17
4 Years to 5 Years, 11 Months	4	8
6 Years to 7 Years, 11 Months	10	21
8 Years to 10 Years, ll Months	1	2
11 Years Plus	2	4
Vacant or Not Provided	1	2
Totals	48	100

Table B2c. Length of Time that Deputy State Superintendents/Commissioners/ Chiefs of Education Have Been in Their Current Job (N=48)

Response	Number	Percent
1 to 11 Months	9	19
1 Year to 1 Year, 11 Months	9	19
2 Years to 3 Years, 11 Months	10	21
4 Years to 5 Years, 11 Months	2	4
6 Years to 7 Years, 11 Months	7	15
8 Years to 10 Years, 11 Months	1	2
11 Years Plus	2	4
Vacant or Not Provided	8	17
Total	48	100

Table B2d. Length of Time that Immediate Supervisors Have Been in Their Current Position (N=48)

Response	Number	Percent
1 to 11 Months	10	21
1 Year to 1 Year, 11 Months	10	21
2 Years to 3 Years, 11 Months	6	13
4 Years to 5 Years, 11 Months	4	8
6 Years to 7 Years, ll Months	4	8
8 Years to 10 Years, 11 Months	3	6
11 Years Plus	5	10
Vacant or Not Provided	6	13
Totals	48	100

Table B3a. Type of Previous Position Held by the State Director/Administrator of Special Education (N=48)

Response	Number	Percent
Other SEA position	25	52
LEA administrator	8	17
Higher Education	2	4
Position Vacant	1	2
Governor's Aide	1	2
SEA and LEA	1	2
LEA, Higher Education & Private Consultant	1	2
Regional Office	3	6
Teacher	1	2
State Budget Director or Other Agency Head	1	2
Council on Developmental Disabilities	1	2
LEA Administrator and Higher Education	1	2
Unstated	2	4

Table B3b. Type of Previous Position Held by the Deputy Superintendent (N=48)

Response	Number	Percent
Other SEA Position	10	21
LEA Administrator/Regional Education Agency	19	40
Higher Education	2	4
Business CEO	3	6
Attorney	1	2
Regional Office	1	2
SEA and Private Consultant	1	2
Congressional Staffer	2	4
Other State Agency	1	2
SEA and LEA	1	2
State Budget Director or Other Agency Head	1	2
Management	1	2
Vacant or Not Stated	5	10

Table B3c. Type of Previous Position Held by the Immediate Supervisor of the State Director/Administrator of Special Education (N=48)

Response	Number	Percent
Other SEA Position	10	21
LEA Administrator	16	33
Private Consultant	2	4
SEA and LEA	2	4
Regional Office Administrator	2	4
Governor's Aide	1	2
Teacher	1	2
State Budget Director or Other Agency Head	2	4
Vacant or Not Stated	12	25

Table B3d. Type of Previous Position Held by the State Superintendent/Commissioner of Education (N=48)

Response	Number	Percent
Other SEA Position	11	23
LEA Administrator	16	33
Higher Education	3	6
Business	1	2
Governor's Aide	1	2
Administrator of a Private Residential Facility	1	2
Legislator	3	6
Teacher	1	2
State Budget Director or Other Agency Head	1	2
National Organization Executive	2	4
Housewife	1	2
SEA and LEA	6	13
Not Stated	1	2

Table 4A. Types of Changes in Carrying out SEA Special Education Functions as a Result of Re-organization

Monitoring (N=17):

Type of Change	Number	Percent
Carried out by SEA special education staff	5	29
Contracted outside of SEA	0	0
Carried out by a SEA matrix team.	3	18
Was SEA, then partly contracted, now SEA	1	6
Greater involvement of LEAs	1	6
Less intrusive	1	6
Integrated with Division of School Services	1	6
Contracted and matrix team	1	6
Procedural change only	1	6
Focus on school improvement	1	6
Involvement with teacher education staff	2	12

Technical Assistance (N=17):

Type of Change	Number	Percent
Carried out by SEA special education staff	5	29
Contracted outside of SEA	1	6
Carried out by SEA matrix team	3	18
Less staff	1	6
Contracted and matrix team	3	18
SEA and contract	3	18
SEA, contract, and matrix	1	6

Due Process (N=17):

Type of Change	Number	Percent
Carried out by SEA special education staff	8	47
Contracted outside of SEA	6	35
Carried out by SEA matrix team	1	6
SEA and contract	1	6
Involvement of teacher education staff	1	6

Mediation (N=13):

Type of Change	Number	Percent
Carried out by SEA special education staff	5	38
Contracted outside of SEA	5	38
Carried out by SEA matrix team	1	8
SEA and contract	1	8
Statewide mediation system project	1	8

Complaints (N=17):

Type of Change	Number	Percent
Carried out by SEA special education staff	9	53
Contracted outside of SEA	3	18
Carried out by SEA matrix team	3	18
SEA and contract	1	6
Involvement of teacher education staff	1	6

Management (N=13):

Type of Change	Number	Percent
Carried out by SEA special education staff	11	85
Carried out by SEA matrix team	2	15

CSPD (N=19):

Type of Change	Number	Percent
Carried out by SEA special education staff	11	58
Contracted outside of SEA	4	21
Carried out by SEA matrix team	1	5
Contract and SEA matrix team	1	5
Merged with rehabilitation	1	5
Involvement of teacher education staff	1	5

Early Childhood (N=17):

Type of Change	Number	Percent
Carried out by SEA special education staff	10	59
Carried out by SEA matrix team	1	6
Contract and SEA matrix team	2	12
SEA and contract	1	6
SEA special education staff and SEA matrix team	1	6
Involvement of teacher education staff	2	12

SED (N=14):

Type of Change	Number	Percent
Carried out by SEA special education staff	7	50
Contracted outside of SEA	1	7
Carried out by SEA matrix team	2	14
Contract and matrix	1	7
SEA and contract	2	14
No function	1	7

Programs for Low Incidence Children (N=17):

Type of Change	Number	Percent
Carried out by SEA special education staff	10	59
Carried out by SEA matrix team	2	12
Contract and SEA matrix team	1	6
All at LEA level	1	6
Grant to university	3	18

Special Studies (N=5):

Type of Change	Number	Percent
Carried out by SEA special education staff	4	80
Carried out by SEA matrix team	1	20

Other (N=5):

Type of Change	Number	Percent
New program areas by SEA- juvenile	1	20
New program (not specified) - contracted	1	20
Critical issues resolved by SEA matrix team	2	40
Non-mandatory programs dropped because of	1	20

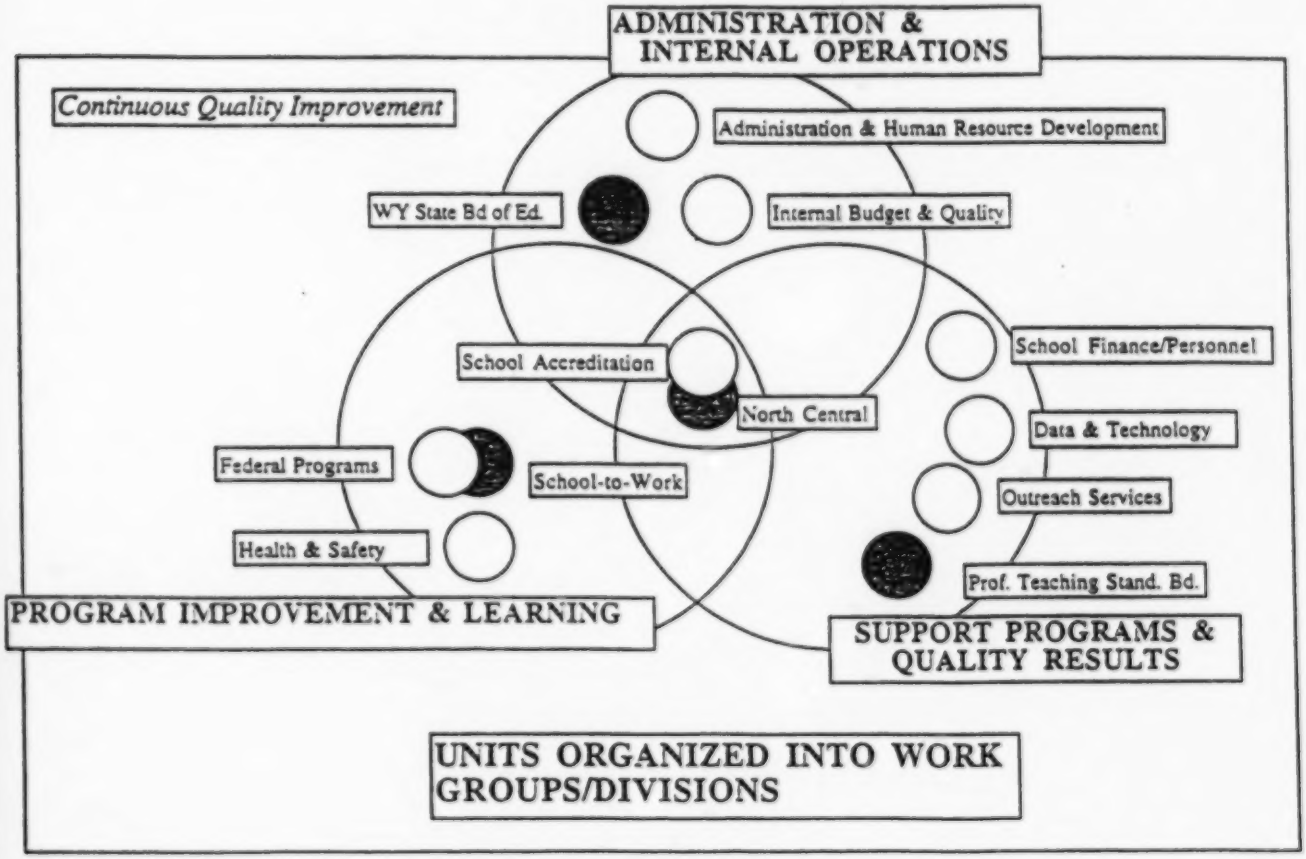
APPENDIX C: EXAMPLES OF SEA ORGANIZATIONAL CHARTS CONTAINING MATRIX OR CROSS-CUTTING TEAMS

JUDY CATCHPOLE
Superintendent of Public Instruction

Wyoming
Department of Education

WYOMING DEPARTMENT OF EDUCATION

draft - 7 (7/21/95)



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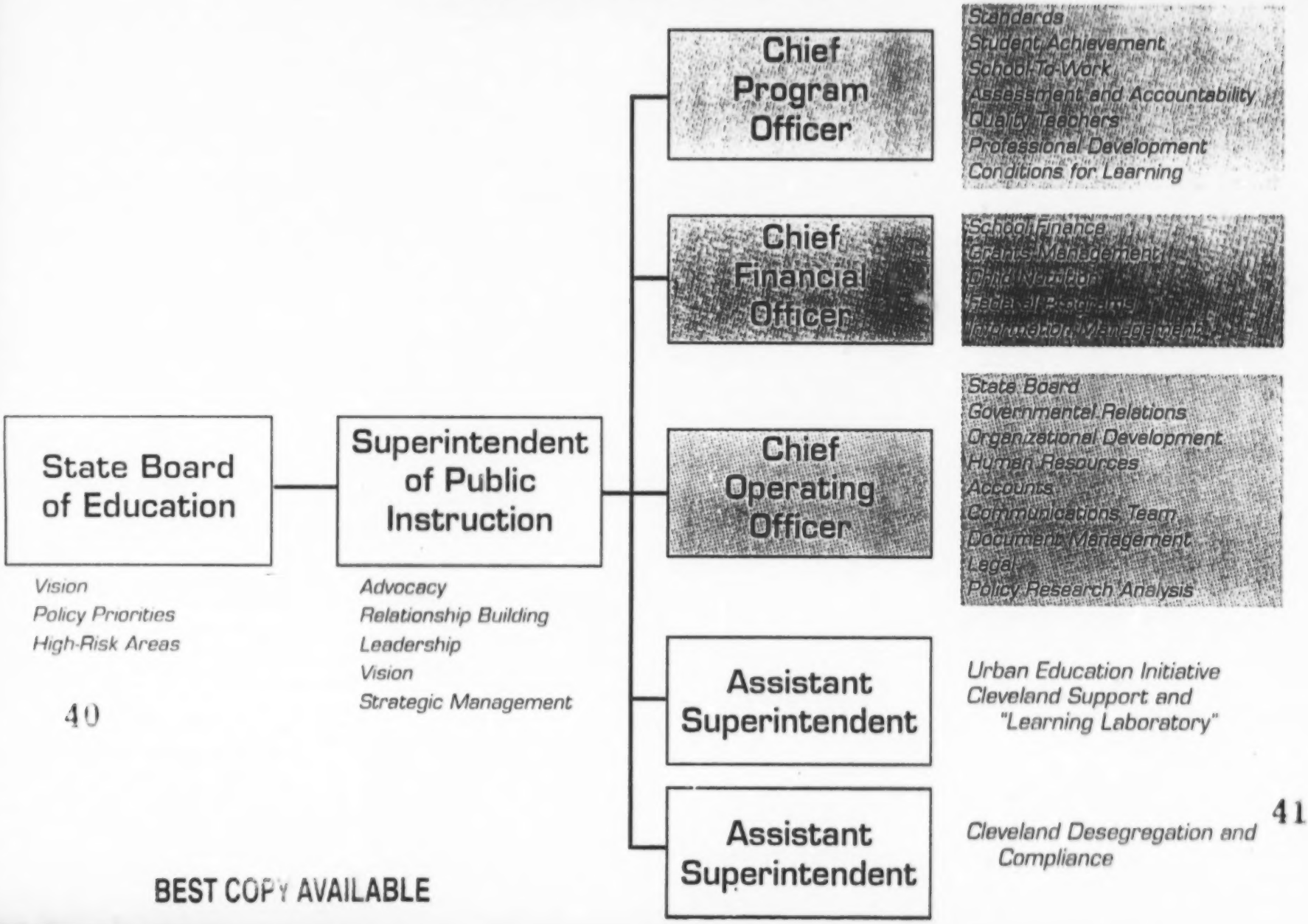
Organizational Chart



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"FROM RHETORIC TO REALITY: DEREGULATING OHIO'S SCHOOLS"

A significant amount of rhetoric and lore about the Ohio Department of Education's overly prescriptive and regulatory nature has accumulated over the years. In fact, the record and the rhetoric don't add up. The following policy brief has been prepared to set the record straight.

Who We Were

Over the last three years, the Ohio Department of Education has championed the message that schools need to restructure, streamline services, and spend time on what's most important--student learning and achievement. By the spring of 1991, the Department was looking for ways to apply this philosophy to itself.

That year, the Governor's Education Management (GEM) Council studied the Department's organization and functions and found that the agency spent nearly 75% of its time working on compliance and audit reviews instead of focusing most of its time on the critical work of school improvement. The GEM's final report, titled The Model for the Future, showed that the Department's time-on-task then was as follows:

- 45% to complete mandated compliance and audit requirements
- 30% to help assist school districts avoid audit findings
- 25% to do research, development, and assistance activities related to improving schooling

A significant amount of rhetoric about how to deregulate Ohio's schools and help them improve student learning had come in the years before and has continued since the Model report. A milestone in ending the rhetoric and moving to action was poor performance in 1991 on the Ohio Ninth-Grade Proficiency Tests--a four-part exam of basic skills in reading, writing, mathematics, and citizenship--by the first class of students whose diploma would be linked to passing the tests. This potential statewide crisis (described below) caused the Department not only to rethink its rhetoric, but begin to translate it into reality.

Changing Course: Regulating the Results, Not the Processes, of Schooling

Here's what happened. In November 1991, the Department identified 48 school districts as needing intensive assistance because more than 75% of their ninth graders had failed one or more parts of the proficiency tests, and little progress had been made with the next group of ninth graders. Based on this beginning trend, the Department knew that many of these students were at-risk of not graduating on time.

Here was a case-in-point of rhetoric challenged by reality. Despite such poor performance, the 48 districts had met all of the state's minimum standards--the menu of mandates and requirements the state had said every district had to do in order to be successful.

In other words, the state's regulation of processes had not guaranteed high-quality results, let alone the basic results as evidenced by the proficiency tests.

This finding, coupled with the Model report, led Superintendent of Public Instruction Ted Sanders in March 1992 to recommend to the State Board of Education that they authorize him to halt the five-year cycle of school evaluations required by state standards. In its place Dr. Sanders proposed an intervention initiative to strategically target assistance to the 48 school districts. The State Board endorsed the proposal, which fundamentally shifted the Department's work from tracking processes to helping schools and their students achieve higher results.

Dramatic action reaped dramatic results: All 48 districts made significant, and sometimes remarkable, progress by the spring of 1994 in improving student performance. (See attached report for more details.)

The intervention initiative represents one of the most important efforts ever undertaken by the Department to help schools. And it exemplifies the Department's future as a service-oriented agency--one focused on results.

APPLYING THE LESSONS LEARNED

Striving to build on the success of the intervention initiative, the Department is seeking other opportunities to jettison unnecessary policies, procedures, and practices. Evidence of the Department's commitment to deregulation is clear on many fronts, as described in the examples below.

1. Start with the law.

Early in 1994, the Department took advantage of a legislative call to review Ohio law to find out what regulations prescribed in statute were unnecessary and obstructive--meaning they should be abolished.

After completing the task, the Department found, contrary to early assumptions, that the number and intensity of its regulations were not mandated by state statutes. In fact, the Department concluded, **"We have met the enemy, and it is us."** The Department's own application of statutes through rules, regulations, and requirements resulted in the over-regulation of school districts--not to mention the addition of many burdensome federal mandates.

To cut back its own unnecessary regulations, the Department has (1) emphasized deregulation in its work to write new standards for schools and for teacher education and certification (see details below), (2) redoubled its efforts to use the state superintendent's authority to waive certain state statutes and regulations, (3) continued to look for additional state mandates to reduce, and (4) recommended that an external, independent audit of state and federal regulations be completed with help from the Legislative Service Commission and the Legislative Office of Education Oversight.

2. Streamline the data collection.

Using technology as a management tool, Ohio schools report required data on students, staff, and finance through the Education Management Information System (EMIS). A recent Department review determined that 76 of the 378 required EMIS data elements could eliminated because they were not required by law, thus cutting the data collection by 20% and relieving school districts of an unnecessary burden. Even more, the review relieved districts of filing 35 separate, duplicative forms. Both findings move the Department closer to its goal of operating a paperless reporting system in the near future.

3. Relieve schools of the weight of state requirements.

Ohio law gives the State Superintendent authority to exempt a school district from specific statutes and from the Department's own regulations that are barriers to school improvement. Dr. Sanders has aggressively promoted this deregulatory tool on two fronts. First, in January 1994, he fundamentally changed the process for approving waivers by shifting the burden for demonstrating why a waiver should be granted from school districts to Department staff, who must demonstrate a compelling reason why it should not be granted. Second, he coupled this tool with the opportunity for innovation captured through Ohio's venture capital strategy.

From January 1994 to January 1995, the Department had received over 128 requests for waivers--compared to 53 requests during the entire three-year period preceding Dr. Sanders' changes. Of the 128 waivers requested, 110 (or 86%) were approved--most of which sought additional professional development days for teachers. Ten of the requests didn't even require a waiver, five await a decision pending additional information, and only two have been denied.

4. Deregulate the new teacher standards.

New standards have been proposed for teacher education and certification in Ohio. As proposed, these new standards carry the theme of deregulation in that they have, for example, removed the prescription of hours to be filled and courses to be completed in exchange for a clear demonstration by Ohio's colleges of education that their graduates can meet the performance criteria for a beginning teacher. Other administrative changes reduce the number of staff and visits required for reviewing programs at colleges of education.

5. Deregulate the new standards for learners.

Also in draft form are new standards to guide school districts' programs and services for prekindergarten through grade 12. Key deregulation items in these standards include (1) the end of the five-year evaluation cycle (described earlier), (2) significantly fewer specifications for the format and content of local curricula, (3) fewer specifications for daily operations, such as eliminating the requirement for daily lesson plans, and (4) graduation requirements that focus more on local assessment and validation without state-mandated courses or minutes of instruction in prescribed courses.

THE NEW REALITY: FOCUSING ON SCHOOL IMPROVEMENT

The Department's work-to-date, both in deregulating schools and setting the record straight about its accomplishments, is all for naught if it doesn't advance the agency's core objective of improving schools. In Ohio, school improvement means focusing on what students learn and know and what teachers do in the classroom every day. These are the standards by which the Department measures its own success and holds itself accountable to the public. The new reality is about results, and deregulating schools is one of the Department's most effective tools to use in helping students, teachers, and schools achieve higher results in a faster, more logical and more planful way.

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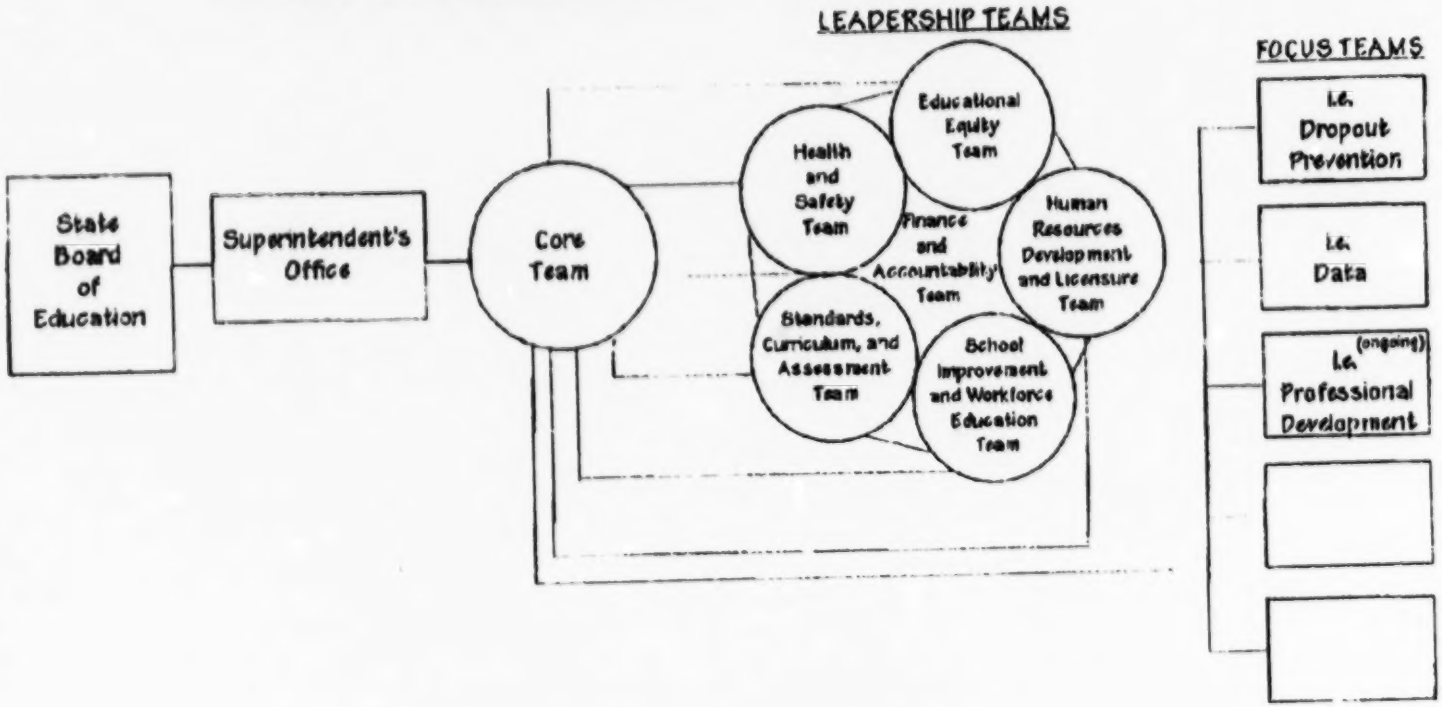
DEPARTMENT OF EDUCATION

Mission: The Nevada Department of Education is committed to leading Nevada's citizens in accomplishing lifelong learning and educational excellence.



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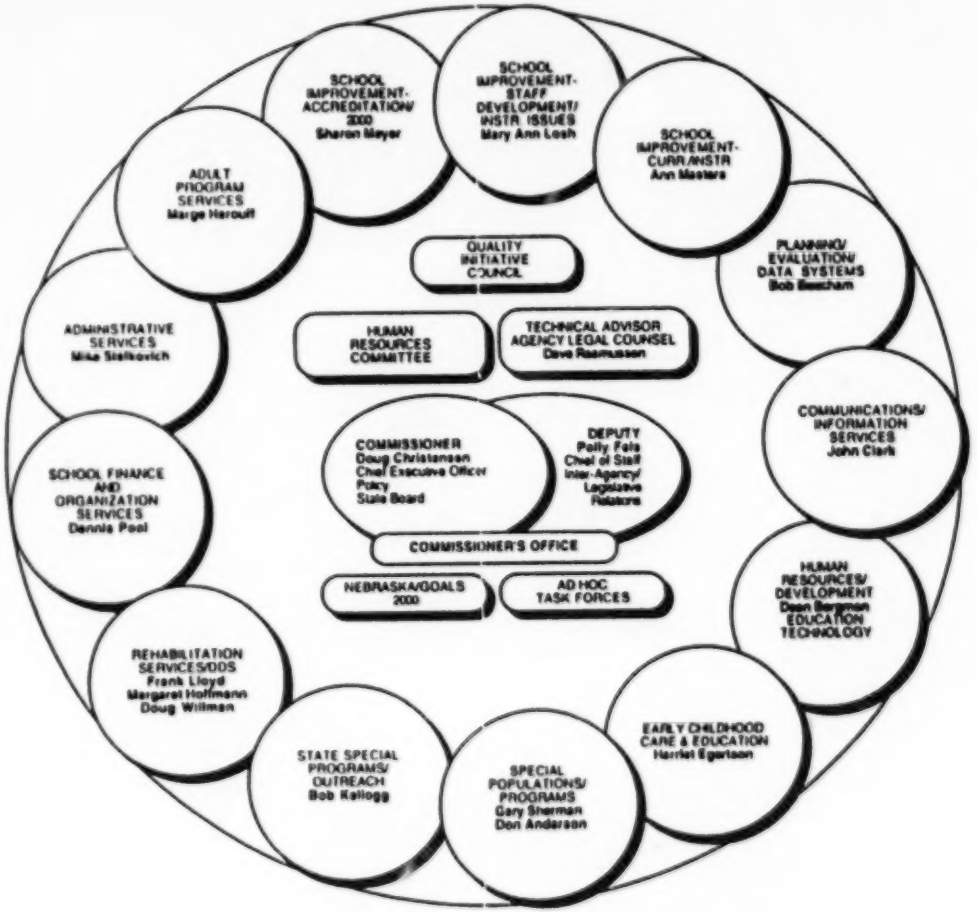
The Nebraska Department of Education

A Process for Communication, Decision Making, and Collaboration



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Leadership Council

The Process

Redesigning the Nebraska Department of Education

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